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THURSDAY, JULY 1, 1976

PART III:

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Human Development

■

HEAD START PROGRAM PERFORMANCE STANDARDS

Final Self-Assessment / Validation Instrument

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Human Development

HEAD START PROGRAM PERFORMANCE STANDARDS

Final Self-Assessment/Validation Instrument

Notice of Head Start Program Performance Standards Proposed Self-Assessment/Validation Instrument to be used by Head Start grantees and delegate agencies in conducting an annual assessment of grantee activities was published in the FEDERAL REGISTER at 40 FR 50960 on October 31, 1975. Interested persons were invited to submit written comments, suggestions, or objections on or before December 1, 1975 and subsequently extended to February 1, 1976. By close of business February 1, 1976, 35 letters were received. Nine of these were written primarily for the purpose of registering satisfaction with the Self-Assessment/Validation Instrument.

On the whole the comments were constructive and supportive of the instrument. They dealt mainly with issues of format and style, inconsistencies across components and with omissions and discrepancies in numbering and wording between the individual specific policies and the performance standards they represent.

Specifically the major concerns expressed were as follows:

1. Numbering, ordering, and wording of Individual Specific Policy in Col. 2 for Education, Health and Parent Involvement Component is inconsistent with that of the performance standard represented in several instances. In Column 7 the numbers under the Guidance for Assessing Compliance do not always correspond with the numbers in Column 2, Individual Specific Policy, to which it refers.

2. Under Column 2, Individual Specific Policy, in many instances, the parts and sub-items of a particular performance standard are not itemized separately so that compliance with each part may be designated individually rather than for the entire performance standard as a whole.

3. Also under Column 2, Individual Specific Policy, there is no provision made to distinguish compliance with the requirements for the written plan as opposed to the program operations.

4. Under the Performance Summary for each component the subject headings do not correspond to the Performance Standards, and omission of all sub-items of the performance standard provide an inaccurate picture of the degree of compliance.

5. There are no instructions on the self-assessment procedure and for scoring for compliance.

6. Maintenance of confidentiality of records is not addressed.

The proposed Self-Assessment/Validation instrument was revised taking into consideration the helpful comments received to make it easier to follow and use. The following changes were made:

1. The Individual Specific Policy in Column 2 was reworded and renumbered to agree with the Performance Standard represented. Each part and sub-item is now itemized separately so that compliance with each part and sub-item may be noted. The Guidance for Assessing Compliance (Column 7) for each part and sub-item was renumbered as appropriate to correspond with the numbers in Column 2.

2. Each component now contains 2 separate sections to indicate compliance with the performance standards: The first is related to the written plan only; the second to the program operations.

3. Under the Performance Summary Section of each component, all sub-items have been included.

4. To the Introduction was added general guidance for conducting the self-assessment and for maintaining confidentiality of records.

The effective date shall be July 1, 1976.

Dated: June 28, 1976.

(Catalog of Federal Domestic Assistance Programs Number 13,600; Child Development—Head Start)

STANLEY B. THOMAS, Jr.,
Assistant Secretary for Human Development.

HEAD START PROGRAM PERFORMANCE STANDARDS SELF-ASSESSMENT/VALIDATION INSTRUMENT

Office of Child Development
Office of Human Development
Department of Health, Education, and Welfare
Washington, D. C.

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INTRODUCTION

The Head Start Program Performance Standards Self-Assessment/Validation Instrument (SAVI) is designed to serve the dual purpose of aiding (1) Head Start grantees and delegate agencies in conducting an annual assessment of their activities and (2) the Regional Office in validating their findings in light of Head Start Program Performance Standards. It can also serve as one tool among others to identify training and technical assistance needs of the programs. This instrument contains questions on each performance standard with accompanying guidance that provides suggestions for assessing compliance in the areas of Education, Health (Medical, Dental, Mental Health and Nutrition), Social Services, and Parent Involvement. These performance standards pertain to the methods and processes to be used by Head Start grantees to meet the needs of children.

Along with its program performance standards, each component of Head Start has developed guidance that serves to explain the standards as well as to provide the "how to" for implementation. This guidance should also serve as the criteria against which to make assessments relating to compliance.

Head Start Program Performance Standards and the accompanying guidance are published in OCD Notice N-30-364-4, July 1975. All grantee and delegate agency staff and parents scheduled to participate in the self-assessment activities must be familiar with this information.

Self-Assessment Procedure

Each year each Head Start grantee, with the involvement of all its delegate agencies, must carry out a self-assessment and complete and submit to the Regional Office the composite Self-Assessment/Validation Instrument based on the findings of all delegate agencies and grantee. The local Head Start grantee must look at all delegate agencies by doing a substantial review of a sample of their activities. The self-assessment should be completed by the grantee prior to the grantee's on-site pre-review visit by the Regional Office. In rare cases, where the self-assessment cannot be completed by the grantee prior to the scheduled pre-review visit, the Regional Office may, in response to a request by an adequate justification provided by the grantee, move the date of the pre-review to a later time, not to exceed 60 days from the originally scheduled pre-review date.

It will be necessary for the grantee to assist the delegate agencies in carrying out a self-assessment of its program. The grantee and delegate agencies should form a self-assessment team(s) composed of Head Start staff (center and supervisory levels) and parents. Policy Committees and/or Policy Councils must be involved in all phases of the self-assessment, e.g., planning, training and assessing. Before undertaking the self-assessment, all persons participating should receive training in the self-assessment process and become knowledgeable of all the performance standards and the guidance specifically relating to the component being assessed. This training is necessary in order to enable team members to make an informed judgment as to the state of compliance. It is important that specialists in all of the components contribute to the self-assessment process in order that an accurate assessment be obtained.

Several procedures may be used to verify that the activities required for compliance with the performance standards are conducted: (1) actual observations of the activities,

(2) reading of sample records relating to the activities (education plans, minutes of meetings, training plans and records, job descriptions, work schedules, etc.); and (3) interviewing various personnel on activities performed.

Although the self-assessment of each component may be conducted at different times, it is more efficient to set aside a specific time during which assessment of all components can take place simultaneously. It is helpful to have the entire team meet as a unit several times but especially before the final decisions are made to discuss problem areas and cross-check findings.

Because of the confidentiality of children's and families' records required by Head Start Performance Standards, parents and volunteers are prohibited from reviewing records other than those of their own children. Children's health and education records and social service records on families are open only to Head Start staff and specialist consultants on a "need to know" basis.

Each delegate agency fills out the self-assessment form (SAVI) and submits it to the grantee. The grantee then prepares from the individual delegate agency reports a single composite self-assessment report (SAVI) for forwarding to the Regional Office.

Self-Assessment Instrument

There are 2 sections to the self-assessment intrument for each component. The first section deals with the assessment of the written plan. The second section deals with the assessment of program operations. Column one on the form Cross Reference Part 1304 provides the number of the Performance Standard for each of the corresponding questions listed in column two Individual Specific Policy. Column three Delegate Agency or Grantee In Compliance, Yes/No requires checking if the activity is in or out of compliance. In column four Reasons for Non-Compliance, are to be explained. Columns five and six are used by the OCD Regional Office to review and validate the grantee's findings. Column seven contains Guidance for Assessing Compliance.

At the end of each of the components, a Performance Summary sheet is provided to record findings on compliance or non-compliance.

Scoring of Self-Assessment for Compliance

For the grantee to be in compliance with a performance standard, it must meet the following conditions:

1. All parts or sub-items of the performance standard must be in compliance.

2. Each center in all delegate agencies must be in compliance with the performance standard and all its parts and sub-items.

Regional Offices will be responsible for reviewing and validating grantee performance.

Delegate Agency or Grantee Transmittal Form

Date:

Name of Delegate Agency or Grantee _____

Address _____

_____

_____

Telephone No. _____

Grantee No. _____

Name of Grantee Executive Director _____

Signature _____

Name of Head Start Director _____

Signature _____

Chairperson of Head Start Policy Council or Committee _____

Signature _____

Members of Self Assessment Team: _____

Signature and Title _____

_____

_____

_____

_____

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EDUCATION - WRITTEN PLAN

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
1-4	Is there a current written plan (annually updated or revised)?							Check the written plan and interview specialist responsible for component. Note date of revision or update.
1-4	Is there evidence of advice and concurrence of Policy Council or Policy Committee in developing the plan?							Review minutes of Council or Committee and interview several members.
1-4	Does the plan provide that the Head Start program covered thereby meets or exceeds the performance standards as required for:							Compare contents of written plan against requirements specified in each performance standard and its parts and subitems. Circle the specific subitem not in compliance. If any subitem of a performance standard is not in compliance mark No for that part of the standard in Column 3.
	2-2(a)							
	(b)(1)(i)(ii)(iii)							
	(b)(2)(i)(ii)(iii)(iv)(v)							
	(b)(3)(i)(ii)							
	(c)(1)							
	(2)(i)(ii)							
	(3)							
	(d)							
	(e)(1)							
	(2)							
	(3)							

EDUCATION - WRITTEN PLAN

Page 2

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
	2-2(e) (4)							
	(5)							
	(6)							
	2-3(a) (1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							
	(7)							
	(8)							
	(9)							
	(10)							
	(11)							
	(12)							
	(13)							
	(b) (1)							
	(2)							

EDUCATION - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
	2-3(b)(3)							
	(4)							
	(5)							
	(6)							
	(7)							

EDUCATION - PROGRAM OPERATIONS

Page 4

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
2-2(b)(1)	Is there a supportive social and emotional climate which:							(1) Interview education director, teachers and parents to determine how program provides supportive social/emotional climate.
(i)	Enhances children's understanding of themselves as individuals, and in relation to others, by providing for individual, small group, and large group activities;							(i) Observe in classrooms to see if room arrangement and daily schedule enable children to participate in individual, small group and larger group activities.
(ii)	Gives children many opportunities for success through program activities;							(ii) Look at classroom activities, daily plans, and/or materials to see if they are suited to the developmental level of children.
(iii)	Provides an environment of acceptance which helps each child build ethnic pride, develop a positive self-concept, enhance his individual strengths, and develop facility in social relationships?							(iii) Look at classroom activities, interactions, and/or materials to see if they show respect for each child; are free of sex role and racial/ethnic stereotyping; and provide opportunities to talk about feelings, to share responsibilities, and to share humor.

EDUCATION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
2-2(b)(2)	Is development of intellectual skills provided for by:							(2) Interview education director, teachers and parents to determine how program provides for the development of intellectual skills.
(i)	Encouraging children to solve problems, initiate activities, explore, experiment, question, and gain mastery through learning by doing;							(i) Look at classroom activities, interactions, and materials to see if they provide opportunities for the child to manipulate objects which vary in size, shape, texture, weight, color, and so forth.
(ii)	Promoting language understanding and use in an atmosphere that encourages easy communication among children and between children and adults;							(ii) Look at classroom activities, interactions and materials to see if they provide time for children to talk to each other and to adults in the language of their choice and opportunities to hear and use new and interesting vocabulary and ideas.
(iii)	Working toward recognition of the symbols for letters and numbers according to the individual developmental level of the children;							(iii) Look at classroom activities, interactions and materials to see if they provide for the use of written numbers and letters within the context of children's understanding (e.g. children's names, labels, experience stories, availability of children's books, and so forth.
(iv)	Encouraging children to organize their experiences and understand concepts; and							(iv) Look at classroom activities, interactions, and materials to see if they provide opportunities for children to categorize, label, sequence, and talk about events and objects in their environment.

EDUCATION-PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
2-2(b)(2)(v)	Providing a balanced program of staff-directed and child-initiated activities?							(v) Observe to see if program activities include active and quiet periods, child-initiated and adult-initiated activities, and use of special areas for quiet and individual play or rest.
2-2(b)(3)	Is promotion of physical growth encouraged by:							(3) Interview education director, teachers and parents to determine how program provides for promotion of physical growth.
(i)	Providing adequate indoor and outdoor space, materials, equipment, and time for children to use large and small muscles to increase their physical skills; and							(i) Review daily plans (if available) to determine if ample opportunity is provided for physical development. Observe to see that equipment, materials, and activities (indoor and outdoor) are in keeping with children's physical development.
(ii)	Providing appropriate guidance while children are using equipment and materials in order to promote children's physical growth?							(ii) Observe physical activities (both indoor and outdoor) to see if staff are actively involved with children and if activities are adequately supervised.
2-2(c)	Is the program individualized to meet the special needs of children from various populations by:							(c) Interview education director, teachers and parents to determine how program meets the special needs of children from various populations.

EDUCATION - PROGRAM OPERATIONS

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Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
2-2(c)(1)	Having a curriculum which is relevant and reflective of the needs of the population served (bilingual/bicultural, multicultural, rural, urban, reservation, migrant, etc.)?							(1) Check classroom materials & activities to confirm relevance to needs of Head Start population. (Curriculum is the learning environment plus the varied experiences provided for participating children.)
2-2(c)(2)	Having staff and program resources reflective of the racial and ethnic population of the children in the program by:							(2) Interview education director, selected teachers and parents to determine racial and ethnic population served:
(i)	Including persons who speak the primary language of the children and are knowledgeable about their heritage; and, at a minimum, when a majority of the children speak a language other than English, at least one teacher or aide interacting regularly with the children must speak their language;							(i) Interview teachers & parents to determine whether or not they speak the primary language of the children and are knowledgeable about their heritage.
(ii)	Having available one adult in the center to communicate in the native language where only a few children, or a single child, speak a language different from the rest?							(ii) Interview classroom staff or teacher & identify adults knowledgeable in specific language.

EDUCATION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304 Section	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
2-2(c)(3)	Including parents in curriculum development and having them serve as resource persons (e.g., for bilingual/bicultural activities)?							(3) Interview parents to determine the extent of their involvement in program activities.
2-2(d)	Is there on-going observation, recording and evaluation of each child's growth and development for the purpose of planning activities to suit individual needs?							(d) Interview education director and selected teachers to determine procedures for ongoing individual child observation and determination of developmental needs; if specific instruments or scales are used, confirm appropriateness for Head Start population. Determine if information on file about children is free from labeling descriptions and is being used to plan program activities.
	Are the educational aspects of other Head Start components integrated into the daily education services program?							Interview all component directors to determine how the educational aspects of their components are integrated into the daily education activities. Interview teachers and observe in classrooms for example of integration of components.
2-2(e)	Are the knowledge and understanding of both staff and parents of the educational and developmental needs and activities of children in the program enhanced by:							(e) Interview Head Start Director, selected staff and parents to determine how program provides staff and parent training.
2-2-(e)(1)	Parent participation in planning the education program, and in center, classroom and home program activities;							(1) Review minutes of group meetings responsible for education program for evidence of parent input. Interview education director and parents.

EDUCATION - PROGRAM OPERATIONS

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Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
2-2(e)(2)	Parent training in activities that can be used in the home to reinforce the learning and development of their children in the center;							(2) Interview parent coordinator and selected parents regarding kind and extent of training. Interview education staff to determine adequacy of training.
(3)	Parent training in the observation of growth and development of their children in the home environment and identification of and handling special developmental needs;							(3) Interview parent coordinator and selected parents regarding kind and extent of training. Interview education staff to determine adequacy of training.
(4)	Participation in staff and staff-parent conferences and the making of periodic home visits (no less than two) by members of the education staff;							(4) Examine schedules of staff & staff-parent conferences and home visits. Interview teachers and parents to determine degree of participation.
(5)	Staff and parent training, under a program jointly developed with all components of the Head Start program, in child development and behavioral developmental problems of preschool children; and							(5) Interview Head Start Director & parent coordinator to determine level of input from all components and nature of training.

EDUCATION - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
2-2(e)(6)	Staff training in identification of and handling children with special needs and working with the parents of such children, and in coordinating relevant referral resources?							(6) Interview Head Start Director, medical specialists, social services coordinator and selected parents regarding training and use of referral services.
2-3(a)	Is there a physical environment, conducive to learning and reflective of the different stages of development of the children? Home-based projects must make affirmative efforts to achieve this environment. For center-based programs, space shall be organized into functional areas recognized by the children, and space, light, ventilation, heat, and other physical arrangements must be consistent with the health, safety and developmental needs of the children. To comply with this standard:							(a) Observe in the program setting to determine if the overall appearance of the facility is safe, attractive and inviting.
(1)	There shall be a safe and effective heating system;							(1) Check heating system for safety and efficiency.
(2)	No highly flammable furnishings or decorations shall be used;							(2) Check for existence of flammable materials in the program setting.

EDUCATION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
2-3(a)(3)	Flammable and other dangerous materials and potential poisons shall be stored in locked cabinets or storage facilities accessible only to authorized persons;							(3) Check for existence of dangerous substances and storage provisions of same.
(4)	Emergency lighting shall be available in case of power failure;							(4) Check for emergency lighting.
(5)	Approved, working fire extinguishers shall be readily available;							(5) Check availability and condition of fire extinguishers.
(6)	Indoor and outdoor premises shall be kept clean and free on a daily basis, of undesirable and hazardous material and conditions;							(6) Check indoor and outdoor areas for cleanliness and absence of hazardous materials and/or conditions.
(7)	Outdoor play areas shall be made so as to prevent children from leaving the premises and getting into unsafe and unsupervised areas;							(7) Check outdoor play areas. If adjacent to hazards such as busy streets, bodies of water, etc. are they enclosed?
(8)	Paint coatings on premises used for care of children shall be determined to assure the absence of a hazardous quantity of lead;							(8) Interview center director if there have been tests for presence of lead or assurances of safe level.
(9)	Rooms shall be well lighted;							(9) Check for adequacy of lighting.

EDUCATION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304 Section	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
2-3(a)(10)	A source of water approved by the appropriate local authority shall be available in the facility; adequate toilets and handwashing facilities shall be available and easily reached by children;							(10) Interview the Head Start Director. Check toilet and handwashing facilities.
(11)	All sewage and liquid waste shall be disposed of through a sewer system approved by an appropriate responsible authority, and garbage and trash shall be stored in a safe and sanitary manner until collected;							(11) Interview Head Start Director to determine disposal of liquid and solid waste. Observe both indoor and outdoor areas.
(12)	There shall be at least 35 square feet of indoor space per child available for the care of children (i.e., exclusive of bathrooms, halls, kitchen, and storage places). There shall be at least 75 square feet per child outdoors; and							(12) Interview Head Start Director regarding available space.
(13)	Adequate provisions shall be made for handicapped children to ensure their safety and comfort.							(13) Check provisions for handicapped children. Interview Head Start Director.

EDUCATION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
2-3(a) (13)	Evidence that the center meets State or local licensing requirements for similar kinds of facilities for fire, health, and safety shall be accepted as prima facie compliance with the fire, health and safety requirements of this section.							(a) Where required, confirm compliance with local licensing.
2-3(b)	Is there appropriate and sufficient furniture, equipment and materials to meet the needs of the program, and for their arrangement in such a way as to facilitate learning, assure a balanced program of spontaneous and structured activities, and encourage self-reliance in the children? The equipment and materials shall be:							(b) Observe in the program setting to determine if equipment and materials are in adequate supply, in good repair, and appropriate to the ages and developmental levels of the children served.
(1)	Consistent with the specific educational objectives of the local program;							(1) Interview education director and selected teachers.
(2)	Consistent with the cultural and ethnic background of the children;							(2) Observe in classrooms for materials which reflect the cultural/ethnic/language background of the population served.
(3)	Geared to the age, ability, and developmental needs of the children;							(3) Interview selected teachers. Observe in classrooms to determine if children find equipment and materials interesting and challenging.

EDUCATION - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
2-3(b)(4)	Safe, durable, and kept in good condition;							(4) Check equipment and materials for safety, durability and condition.
(5)	Stored in a safe and orderly fashion when not in use;							(5) Check all storage facilities.
(6)	Accessible, attractive, and inviting to the children; and							(6)Observe in all areas to determine if storage arrangements encourage children to accept reasonable responsibility for use and care of equipment and materials.
(7)	Designed to provide a variety of learning experiences and to encourage experimentation and exploration.							(7)Interview education director or selected teachers to determine how materials & equipment encourage children to learn through experimentation and exploration. Observe program activities to confirm above.

EDUCATION
Performance Summary

Please indicate the compliance status with individual performance standards.

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Written Plan	1304.1-4				
	1304.2-2(a)				
Social/Emotional Climate	1304.2-2(b)(1)(i)				
	(ii)				
	(iii)				
Intellectual Skills	1304.2-2(b)(2)(i)				
	(ii)				
	(iii)				
	(iv)				
	(v)				
Physical Growth	1304.2-2(b)(3)(i)				
	(ii)				
Individual Needs	1304.2-2(c)(1)				
	(2)(i)				
	(ii)				
	(3)				

EDUCATION - (Cont'd)

	Performance Standard Number	Delegate Agency or Grantee Compliance	Delegate Agency or Grantee Non-Compliance	Office of Child Development Compliance	Office of Child Development Non-Compliance
Observation/Records	1304.2-2(d)				
Staff-Parent Taining	1304.2-2(e)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
	(6)				
Facilities	1304.2-3(a)				
	(1)				
	(2)				
	(3)				
	(4)				
	(5)				
	(6)				
	(7)				
	(8)				

EDUCATION - (Cont'd)

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Facilities	2-3(a)(9)				
	(10)				
	(11)				
	(12)				
	(13)				
Equipment/ Materials	1304.2-3(b)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
	(6)				
	(7)				

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
1-4	Is there a current written plan (annually updated and/or revised)?							Check the written plan and interview Health Services Advisory Committee members. Note date of revision or update.
1-4	Is there evidence of advice and concurrence of Policy Council or Policy Committee in developing the plan?							Review minutes of Council or Committee and interview a sampling of members.
1-4	Does the plan provide that the Head Start program covered thereby exceeds or meets the performance standards as required for:							Compare contents of written plan against requirements specified in each performance standard and its parts and subitems. Circle the specific submtems not in compliance. If any subitem of a performance standard is not in compliance mark No for that part of the performance standard in Column 3.
	3-2							
	3-3(a)							
	(b)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							
	(7)							

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
1-4	3-3(b)(8)							
	(9)							
	(10)							
	(c)(1)							
	(2)							
	(d)							
	3-4(a)(1)							
	(2)							
	(3)(i)(ii)(iii)(iv)(v)							
	(vi)(vii)							
	(b)							
	3-5(a)							
	(b)							
	(c)							
	(d)							
	(e)							
	3-6(a)(1)							
	(2)							

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - WRITTEN PLAN

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Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance		Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance		OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section		Yes	No		Yes	No		
1-4	3-6(a)(3)							
	(4)							
	(5)							

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-2	Is there a Health Services Advisory Committee advising in the planning, operation and evaluation of the health services program?							Review minutes or other documentation of Committee meetings to determine their role regarding advising in planning, operation, and evaluation of the Health Services program. Interview Committee members to determine role in the above function.
	Does the Committee consist of Head Start parents and health services providers in the community and other specialists in the various health disciplines?							Review with Health Coordinators and the Health Advisory Committee the composition and membership of the committee.
3-3(a)	Has there been obtained for each child enrolled in the Head Start program a complete medical, dental and developmental history?							(a)Review enrollment & health records to ensure that medical and developmental histories are obtained for each child. These records should be completed, where feasible, at the time of enrollment. If medical histories are not completed at that time, check and insure that forms for obtaining this information are available. Determine if program has a specific time frame for completion prior to physical exam. Check forms to ensure there is a provision for obtaining medical history and background for child for the screenings and examinations. Spot check selected child health records to determine that histories are complete.
	Has advance parent or guardian authorization been obtained for all health services provided?							Spot check enrollment forms for parent's authorization of health services.

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section 3-3(b)	Does the health screening include:							(b) Review procedures used for screening/
(1)	Growth assessment (head circumference up to two years old) height, weight, and age?							(1-8) Spot check health records to determine if the required and other appropriate screenings were provided to the children. If health screenings are not completed, then interview Health Coordinator and other appropriate staff to determine which screenings will be provided and the planned completion date.
(2)	Vision testing?							
(3)	Hearing testing?							
(4)	Hemoglobin or hematocrit determination?							
(5)	Tuberculin testing where indicated?							
(6)	Urinalysis?							
(7)	Based on community health problems, other selected screenings where appropriate, e.g., sickle cell anemia, lead poisoning, and intestinal parasites?							
(8)	Assessment of current immunization status?							
(9)	Procedures for identifying speech problems, determining their cause, and providing services?							(9) Review procedures for identifying speech problems, determination of cause and services provided.
(10)	Identification of the special needs of handicapped children?							(10) Is there written documentation that the diagnosis of a handicapping condition was made by appropriate professionals in accordance with OCD Notice A-30-333-4? Review procedures for identifying special needs of handicapped children.

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
3-3(c)	Do medical examinations for children include:							(c)Selected individual children's records should be thoroughly reviewed as to whether these examinations are performed
(1)	Examination of all systems or regions which are made suspect by the history or screening test?							
(2)	Search for certain defects in specific regions common or important in this age group, i.e., skin, eye,ear, nose, throat, heart, lungs, and groin (linguinal) area?							
3-3(d)	In accordance with local and State health regulations, do employed program staff have initial health examinations, periodic check-ups, and are they found to be free from communicable disease?							(d)Interview Health Services Coordinator and other appropriate staff to check the local and State health regulations for health requirements employed staff must meet to qualify for work in the program. Review staff health records to determine that such requirements have been met.
	Is each volunteer screened for tuberculosis in accordance with state and local regulations?							Check health records of personnel.
3-4(a)(1)	Is treatment obtained or arranged for all health problems detected in enrolled children?							(1)Ask Health Coordinator & other appropriate staff about follow-up procedures for health problems detected.
								Check individual child health records for follow-up treatment.

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 Delegate Agency or Grantee in Compliance No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 OCD In Compliance No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section 3-4(a)(1)	Where funding is provided by non-Head Start funding sources is there written documentation that such funds are used to the maximum feasible extent?							(1) Identify any reports, statements, other documentation that indicates maximum utilization of community health resources.
	Are Head Start funds used only when no other source of funding is available?							Interview Head Start Director to determine to what extent Head Start funds are used because no other health resources are available.
(2)	Are completion of all recommended immunizations-diphtheria, pertussis, tetanus (DPT), polio, measles, German measles provided for? Mumps immunization shall be provided where appropriate.							(2) Check individual child records for completion of immunizations.
(3)	Are the following basic dental care services obtained or arranged for?							(3) Spot check the individual child health records to determine that basic dental care is provided.
(i)	Dental examination.							
(ii)	Services required for the relief of pain or infection.							
(iii)	Restoration of decayed primary and permanent teeth.							
(iv)	Pulp therapy for primary and permanent teeth as necessary							

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

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Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
3-4(a)(3)(v)	Extraction of non-restorable teeth.							
(vi)	Dental prophylaxis and instruction in self-care oral hygiene procedures.							
(vii)	Application of topical fluoride in communities which lack adequate fluoride levels in the public water supply.							
3-4(b)	Is there a plan of action for medical emergencies?							(b) Check medical emergency plan. Interview Health Coordinator and other appropriate staff on how medical emergencies are dealt with in the program. Spot check child's records for permission and consent form. Observe classroom for posted first aid and emergency procedures. Interview staff to learn if at least one member is being trained or knowledgeable in first aid.
3-5(a)	Are there complete and up-to-date medical and dental records for each child containing: -child's medical and developmental history? -screening results?							(a) Spot check individual health records to determine that they are up-to-date and complete.

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-5(a)	-medical examination data and evaluation of this information? -dental examination data and evaluation of this information? -up-to-date information about treatment and follow-up?							
3-5(b)	Are the child's health records forwarded with parental consent to school and/or health delivery system when the child leaves the program?							(b) Check forms for parental authorization to determine if consent is obtained for all records forwarded. Review process by which records are forwarded to the school or health delivery system.
3-5(c)	Is the parent given a summary of child's medical record which includes information on immunization and follow-up treatment?							(c) Ask Health Coordinator and other appropriate staff about process and format of providing summaries to parents. Interview parents to determine what medical information they receive regarding their child's health needs.
3-5(d)	Does the program utilize the Health Planning and Action Report?							(d) Ask local Medical Consultants or Health Liaison Specialist if the report has been used to help plan and implement the health services program.
3-5(e)	Are parents told in all cases the nature of the data to be collected and the uses to which the data will be put, and that the uses will be restricted to the stated purposes?							(e) Ask Health Coordinator and other appropriate staff how program informs parents of the utilization of the health data collected. Review any program-parent correspondence or notification in this regard.

HEALTH SERVICES, GENERAL, MEDICAL, DENTAL - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 Delegate Agency or Grantee in Compliance No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 OCD In Compliance No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section 3-6(a)	Is there an organized health education program for program staff, parents and children which ensures that:							(a) Review lesson plans or other documentation on health education program.
(1)	Parents are provided with information about all available health resources?							(1) Interview selected parents to determine if they were provided information about health resources.
(2)	Parents are encouraged to become involved in the health care process relating to their child? One or both parents should be encouraged to accompany their child to medical and dental exams and appointments.							(2) Interview selected parents to determine if staff encouraged them to become involved with their child's health care process. Check with staff on number of parents accompanying children.
(3)	Staff are taught and parents are provided the opportunity to learn the principles of preventive health, emergency first-aid measures, and safety practices?							(3) Interview staff and selected parents to determine the kind of health education program being provided.
(4)	Health education is integrated into on-going classroom and other program activities?							(4) Review curriculum and lesson plans with teachers to determine that such activities are included. Observe presence of tooth brushes, posters, preparation for mealtime, cleaning up after mealtime.
(5)	The children are familiarized with all health services they will receive prior to the delivery of those services?							(5) Interview appropriate staff to determine processes by which children learn about screening, examination and treatment services.

HEALTH SERVICES - GENERAL, MEDICAL, AND DENTAL
Performance Summary

Please indicate the compliance status with individual performance standards.

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Written Plan	1304.1-4				
HSAC	1304.3-2				
Health Histories/ Parental Authorization	1304.3-3(a)				
Screening	1304.3-3(b)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
	(6)				
	(7)				
	(8)				
	(9)				
Needs of Handicapped	(10)				
Medical Examination	1304.3-3(c)(1)				
	(2)				
Staff Health Requirements	1304.3-3(d)				

HEALTH SERVICES - GENERAL, MEDICAL, AND DENTAL - (Cont'd)

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Treatment, Medical	1304.3-4(a)(1)				
	(2)				
Treatment, Dental	(3)(i)				
	(ii)				
	(iii)				
	(iv)				
	(v)				
	(vi)				
	(vii)				
Medical Emergency Plan	1304.3-4(b)				
Records	1304.3-5(a)				
	(b)				
	(c)				
	(d)				
	(e)				
Health Education	1304.3-6(a)(1)				

HEALTH SERVICES - GENERAL, MEDICAL, AND DENTAL - (Cont'd)

Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
	Compliance	Non-Compliance	Compliance	Non-Compliance
1304.3-6(a)(2)				
(3)				
(4)				
(5)				

HEALTH SERVICES, MENTAL HEALTH - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
1-4	Is there a current written plan (annually updated or revised)?							Check the written plan and interview Health Services Advisory Committee members or mental health specialist. Note date of revision or update.
1-4	Is there evidence of advice and concurrence of Policy Council or Policy Committee in developing the plan?							Review minutes of Council or Committee and interview a sampling of members.
1-4	Does the plan provide that the Head Start program covered thereby meets or exceeds the performance standards as required for:							Compare contents of written plan against requirements specified in each performance standard and its parts and subitems.
	3-8(a)							
	(a)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							
	(7)							
	(8)							

HEALTH SERVICES, MENTAL HEALTH - WRITTEN PLAN

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Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
	3-8(b)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							
	(7)							
	(8)							

HEALTH SERVICES, MENTAL HEALTH - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304 Section	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
3-8(a)	Is there a mental health professional available, at least on a consultation basis to the program and the children?							(a) Check with Health Coordinator to determine availability of a mental health professional. If consultation is part time, determine frequency.
	Does the mental health professional							
(1)	Assist in planning mental health program activities?							(1) Check with Health Services Advisory Committee if a mental health professional assists in planning mental health program activities. Interview mental health professional on program and mental health activities (if feasible).
(2)	Train Head Start staff?							(2) Teachers and appropriate staff should be interviewed on the types of training assistance and evaluation and provided to staff. Review training plan for curriculum.
(3)	Periodically observe children and consult with teachers and other staff?							(3) Check documentation for frequency of observation of children.

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-8(a)(4)	Advise and assist in developmental screening and assessment?							(4) Review selected individual child health records for developmental screening and assessment procedures.
(5)	Assist in providing special help for children with a typical behavior or development?							(5) Teachers, appropriate staff and parents should be interviewed on the types of assistance the mental health professional is providing for children with a typical behavior or development.
(6)	Advise in the utilization of other community resources and referrals?							(6) Teachers, appropriate staff and parents should be interviewed on the assistance in using community resources and referrals.
(7)	Orient parents to mental health program and work with them to achieve objectives of mental health program?							(7) Interview selected parents on their orientation to the mental health program.
(8)	Take appropriate steps in conjunction with health and education services to refer children for diagnostic examination to confirm that their emotional or behavior problems do not have a physical basis?							(8) Review records of individual children receiving the assistance of the mental health program for referral for diagnostic examination.

HEALTH SERVICES, MENTAL HEALTH - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 Delegate Agency or Grantee in Compliance No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 OCD In Compliance No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section 3-8(b)(1)	Is attention paid to pertinent medical and family history of each child so that mental health services can be made readily available when needed?							(1) Ask Health Coordinator, other appropriate staff including teachers and the mental health professional, if feasible, the process by which children with potential behavioral problems are recognized. Spot check referral and/or treatment records.
(2)	Is use made of existing community mental health resources?							(2) Check with appropriate staff to determine if all mental health resources have been identified and the extent to which they are being utilized. Review any lists of resources and referrals. Where feasible, contact a sample of local mental health resources and interview selected staff.
(3)	Is there coordination with education services component to provide a program keyed to individual developmental levels?							(3) Interview coordinator for both components. Ask about procedure for consultation between the two components.
(4)	Is there confidentiality of records?							(4) Check for locked cabinet or other suitable system for keeping of mental health records. Interview staff to determine that restrictions are followed.
(5)	Are there regular group meetings of parents and program staff?							(5) Interview staff and parents on types and frequency of group sessions.

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304 Section	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
3-8(b)(6)	Is parental consent for special mental health services obtained?							(6) Spot check appropriate records for parental consent for special mental health services.
(7)	Are there opportunities for parents to obtain individual assistance?							(7) Interview staff and mental health professional (if feasible) and parents concerning requests, opportunities, and referrals for individual assistance. Review any related records that will substantiate this type of assistance.
(8)	Is there active involvement of parents in planning and implementing the individual mental health needs of their children?							(8) Interview parents and staff concerning nature and extent of parents involvement in mental health needs of their own children.

HEALTH SERVICES - MENTAL HEALTH
Performance Summary

Please indicate the compliance status with individual performance standards.

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Written Plan	1304.1-4				
Mental Health Professional	1304.3-8(a)				
Mental Health Services					
Planning Activities	1304.3-8(a)(1)				
Staff Training	(2)				
Observation	(3)				
Developmental Screening/ Assessment	(4)				
Special Problems	(5)				
Locating Resources	(6)				
Parent Training	(7)				
Interdisciplinary Activities	(8)				
Follow-Up	(b)(1)				
Utilization of Resources	(2)				
Individualization of Program	(3)				
Records	(4)				

Health Services - MENTAL HEALTH - (Cont'd)

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Consultation	1304.3-8(b)(5)				
Parent Authorization	(6)				
Counseling Parents	(7)				
Parent Involvement	(8)				

HEALTH SERVICES, NUTRITION - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
1-4	Is there a current written plan (annually updated and/or revised)?							Check the written plan and interview nutritionist or nutrition coordinator. Note date of revision or update.
1-4	Is there evidence of advice and concurrence of Policy Council or Policy Committee in developing the plan?							Review minutes of Council or Committee and interview a sampling of members.
1-4	Does the plan provide that the Head Start program covered thereby exceeds or meets the performance standard as required for:							Compare contents of written plan against requirements specified in each performance standard and its parts and subitems.
	3-10(a)(1)							
	(2)							
	(3)							
	(b)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							

HEALTH SERVICES, NUTRITION - WRITTEN PLAN

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Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
1-4	(c)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							
	(7)							
1-4	3-10(d)(1)							
	(2)							
	(3)							
	(4)							
	(e)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(f)							
	(g)							
	(h)							

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

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Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 Delegate Agency or Grantee in Compliance No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 OCD In Compliance No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section 3-10(a)	Are the nutritional needs and problems of the children in the Head Start program and their families identified by taking into account:							
(1)	The nutrition assessment data (height, weight, hemoglobin/hematocrit) obtained for each child?							(1) Spot check children's health records for presence of height-weight data; hemoglobin and/or hematocrit data. Is the data on height and weight put on graphs? Spot check health records for evidence of consideration of nutritional status of child and handicapping conditions affecting food intake. Ask health coordinator, nurse, nutritionist or local medical consultant.
(2)	Information about family eating habits and special dietary needs and feeding problems, especially of handicapped children?							(2) Spot check parent-interview records for information relating to child's and families' special needs such as: - underdeveloped feeding skills - emotional problems - specific chronic conditions (allergy, diabetes, etc.) - cultural-ethnic background and food preferences - adequacy of resources: financial, equipment, fuel, transportation, etc. - adequacy of nutrition information concerned with feeding family Are other means than children's health records or parent interviews used to identify needs of children and families? Ask of nutritionist or health personnel.

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-10(a)(3)	Information about major community nutrition problems?							(3) Check with nutritionist or health personnel on what nutrition problems are prevalent such as: - inaccessibility of food markets and transportation - unavailability of fluoridated water, enriched cereals, iodized salt, pasteurized milk - unavailability and inaccessibility to food and financial family assistance programs. Check how this information is used.
3-10(b)(1)	Does every child in a part-day program receive a quantity of food in meals (preferably hot) and snacks which provides at least 1/3 of daily nutritional needs with consideration for meeting any special needs of children, including the child with a handicapping condition?							(1&2) Review posted menus and past menus for - meals and snacks served appropriate to the number of hours children are at center - following of OCD meal pattern in performance standard guidance - use of good to excellent source of Vitamin C daily - use of dark green leafy or yellow vegetable every other day - desserts are integral part of meals used to supply nutrients other than just calories

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-10(b)(2)	Does every child in a full-day program receive snack(s) lunch, and other meals as appropriate which will provide 1/2 to 2/3 of daily nutritional needs depending on the length of the program?							(1 and 2) Check supplies for use of - enriched or whole gain bread, cereals - iodozed salt - full strength fruit juices If breakfast is used as the main meal instead of lunch, the breakfast would need to be very substantial using a protein-rich food and a snack containing milk in addition to other foods suggested in snack pattern to meet 1/3 the needs of the child. To meet 2/3 the child's nutrient needs will necessitate the feeding of lunch or supper pattern plus 2 well-planned snacks that contribute milk in one of them. Spot check with food service personnel on records or prescriptions for special dietary needs of specific children. Ask role of program nutritionist in assuring menu adequacy and in meeting of special dietary needs. Spot check adequacy of food expenditures to meet food needs for children and adults.

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304 Section	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
3-10(b)(3)	Are all children in morning programs who have not received breakfast at the time they arrive at the Head Start program served a nourishing breakfast?							(3) Ask food service personnel and/or nutritionist how many children receive breakfast and how the need is determined. Spot check other records or talk to parent, social worker and nutritionist for indications that other children may need breakfast such as: - extremely low income family - parents working very late or very early hours - children traveling long distance to center - history of the child being hungry or physical evidence of undernutrition.
3-10(b)(4)	Do the kinds of food served conform to minimum standards for meal patterns?							(4) Crosscheck with Performance Standard Guidance and spot check menu patterns for compliance.
(5)	Do the quantities of food served conform to recommended amounts indicated in OCD Head Start guidance materials?							(5) Observe a sampling of centers at mealtime to see if sufficient food is available for children to have seconds as well as average size first portions for their age. (See Guidance for portion sizes.)

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304 Section	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
3-10(b)(6)	Are meal and snack periods scheduled appropriately to meet children's needs and posted along with menus; e.g., breakfast must be served at least 2 1/2 hours before lunch, and snacks must be served at least 1 1/2 hours before lunch or supper?							(6) Check kitchen, diningroom, bulletin board for posted menu. Spot check meal and snack schedule to see if: - programs of 3 hours duration serve snack and meal. If all children receive breakfast, the snack should be omitted in a 3 hour program. 1 1/2 - 2 hours interval is suggested between snack and meal and 2 1/2 -3 hours between breakfast and lunch. Is any time allowed after lunch for brushing teeth, handwashing, etc.? - programs of 4 1/2 - 5 hours duration serve 2 snacks and meal or 2 meals and a snack appropriately spaced. - longer programs may need to serve 2 meals and 2 snacks.
3-10(c)	Do the nutrition services contribute to the development and socialization of the children by providing that:							
(1)	A variety of foods which broaden the child's food experience in addition to those that consider cultural and ethnic preferences is served?							(1) Spot check menus for - introduction of new foods and old foods prepared new ways - serving of cultural and ethnic foods - variety in color, flavor, texture, etc.

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

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Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section 3-10(c)(2)	Food is not used as punishment or reward, and that children are encouraged but not forced to eat or taste?							(2) thru (7) Observe and participate in mealtime at a sampling of centers: (2) Check that food is not used as punishment or reward including - some food is not withheld until other is eaten - dessert is a part of the total meal and not a reward
(3)	The size and number of servings of food reflect consideration of individual children's needs?							(3) Note whether: - individual appetites are considered - portion sizes may vary and are appropriate to children for easy eating, bite size and include finger foods.
(4)	Sufficient time is allowed for children to eat?							(4) Note whether the meal is unrushed (about 30 minutes).
(5)	Chairs, tables, and eating utensils are suitable for the size and developmental level of the children with special consideration for meeting the needs of children with handicapping condititions?							(5) Observe whether: - chair size allows for the child's feet to be on the floor - the table size is in relation to the child and chair and allows the child to be able to easily cut food and eat - children have access to knives, forks and spoons - glasses are small enough for the child to grasp easily - any needed modification or purchase of equipment has been done to meet any special eating needs of the child with a handicapping condition

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-10(c)(6)	Children and staff, including volunteers, eat together sharing the same menu and a socializing experience in a relaxed atmosphere?							(6) Look for: - interactions between children and adults - children and children to promote socialization - adults eating with children and same food - adults attitudes as model for children
(7)	Opportunity is provided for the involvement of children in activities related to meal service. (For example: family style service)?							(7) Note: - child's participation in food service and mealtime activities -- serving, cleaning up, setting table, etc. and ask cook about children's participation in mealtime food preparation activities
3-10(d)	Does the organized nutrition education program for staff, parents and children assure that							(d) Ask nutritionist, sampling of parents and staff about nutrition education program for administrative staff, teaching staff, food service staff, and parents. Check schedules and mechanisms for delivery of nutrition education.
(1)	Meal periods and food are used as an integral part of the total education program?							(1) Participate in a sampling of visits at mealtime and check that mealtime and snacktime are used to develop good food habits. Spot check menus to see if classroom food preparation and food related activities are coordinated with mealtime.

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
3-10(d)(2)	Children participate in learning activities planned to effect the selection and enjoyment of nutritious food?							(2) Spot check teacher's lesson plans for food-related activities for children toward selection and enjoyment of a wide variety of nutritious foods. Spot check nutrition education materials in use in classroom activities. Are they appropriate to be used with preschool children?
(3)	Families receive education in the selection and preparation of foods to meet family needs, guidance in home and money management and help in consumer education so that they can fulfill their major role and responsibility for the nutritional health of the family?							(3) Ask nutritionist if content was developed with parents and are based on needs identified through parent interview and knowledge of community nutrition problems. Spot check nutrition education materials for appropriateness: - identified needs of group - cultural, ethnic, educational background - economic limitations Ask sampling of parents if nutrition education program meets their needs.

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-10(d)(4)	All staff, including administrative, receive education in principles of nutrition and their application to child development and family health and ways to create a good physical, social and emotional environment which supports and promotes development of sound food habits and their role in helping the child and family to achieve adequate nutrition?							(4) Is nutrition education for staff designed to meet their specific responsibilities for nutrition component in addition to improving their own nutrition? Is it part of total staff training and orientation program? Ask nutritionists and Head Start personnel.
3-10(e)	Are parents and appropriate community agencies involved in planning, implementing, and evaluating the nutrition services such as:							(e) Spot check with classroom staff and with food service staff on opportunities for parent involvement. Spot check volunteer records for frequency and type of parent involvement. Interview a sampling of parents for opportunities for involvement and communication on nutrition activities. Check with nutritionist on use of community resources for nutrition services.
(1)	The Policy Council or Committee and the Health Services Advisory Committee have opportunity to review and comment on the nutrition services;							(1) Check with the Policy Committee and HSAC on input into written plan and other roles. Check minutes of meetings.

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304 Section	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 Delegate Agency or Grantee in Compliance No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 OCD In Compliance No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
3-10(e)(2)	The nutritional status of the children is discussed with the parents;							(2) Spot check children's folders for record of interview with parents on child's nutritional status related to height-weight, eating skills, etc., and for any counseling on special needs. Ask teachers, sampling of parents and nutritionist.
(3)	Information about menus and nutrition activities is shared regularly with parents;							(3) Ask how this was done and how often of sampling of teachers and parents and nutritionist.
(4)	Parents are informed of the benefits of food assistance programs; and							(4) Check with the social services for indication of referrals of families to community agencies for food assistance. Ask social service what proportion of eligible families are participating in food assistance programs.
(5)	Community agencies are enlisted to assist eligible families participate in food assistance programs?							(5) Ask sampling of parents if community agencies are providing the help they need.
3-10(f)	Is there compliance with applicable local, state and federal sanitation laws and regulations for food service operations including:							(f) Spot check for current licensing and inspection certificates and posting of such.

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
3-10(f)	- standards for storage, preparation and service of food?							In absence of inspection by a government agency, what documented evidence of compliance is there? Ask nutritionist or Head Start Director. Are all violations being corrected? Ask nutritionist and Head Start Director.
	- health of food handlers?							Check the current food handler's health certificate and posting of such.
	- and for posting of evidence of such compliance?							
	Do vendors and caterers supplying food and beverages comply with similar applicable laws and regulations?							Check documented evidence for compliance of sanitation standards by caterers and food vendors.
3-10(g)	Is there direction of the nutrition services by a qualified full-time staff nutritionist or periodic and regularly scheduled supervision by a qualified nutritionist or dietition as defined in the Head Start Guidance material?							(g) Check with the Head Start Director for name of person, qualifications, frequency of service, type of service. Ask to see job description.
								Interview nutritionist for role and frequency.
								Interview teachers, parents and food service personnel on role of nutritionist.
	Do all nutrition services staff receive preservice and in-service training as necessary to demonstrate and maintain proficiency in menu planning, food purchasing, food preparation and storage, and sanitation and personal hygiene?							Spot check personnel folders for record of performance evaluation and type of individualized training planned. Does this relate to job responsibilities previous experience and qualifications?

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
3-10(g)								Ask cooks if they feel they are getting type of training needed. Observe food preparation. Does planned training seem consistent with needs seen? Taste and look at food served. Does planned training relate to production of high quality food appropriate to needs of children?
3-10(h)	Is there an established system for the maintenance of records covering: - nutrition services budget? - expenditures for food?							(h) Check for accessibility and orderliness of records. Check nutrition services expenditures and/budget for inclusion of food costs (adults and children) food service and nutrition staff, equipment and nutrition education materials and supplies for children and parent activities and staff training.
	- menus utilized?							Spot check written menus for indication that substitutions are noted.
	- number and types of meals served daily with separate recordings for children and adults?							Check for record of daily meal counts - adults and children.
	- inspection reports made by health authorities?							Check for records of violations and inspection certificates.
	- recipes?							Are standardized recipes based on numbers of children served used?

HEALTH SERVICES, NUTRITION - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section 3-10(h)	- Other information deemed necessary for efficient operation?							Spot check adequacy of inventory and purchasing records. Check accounting of expenditure of OCD monies made available by use of USDA reimbursement. Is priority use given to maintenance of a high quality nutrition component?

HEALTH SERVICES - NUTRITION

Performance Summary

Please indicate the compliance status with individual performance standards.

	Performance Standard Number	Delegate Agency or Grantee Compliance	Delegate Agency or Grantee Non-Compliance	Office of Child Development Compliance	Office of Child Development Non-Compliance
Written Plan	1304.1-4				
Needs Identification	1304.3-10(a)(1)				
	(2)				
	(3)				
Provision of Food	1304.3-10(b)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
	(6)				
Developmental Social Needs	1304.3-10(c)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
	(6)				
	(7)				

HEALTH SERVICES - NUTRITION (Cont'd)

	Performance Standard Number	Delegate Agency or Grantee Compliance	Delegate Agency or Grantee Non Compliance	Office of Child Development Compliance	Office of Child Development Non-Compliance
Nutrition Education	1304.3-10(d)(1)				
	(2)				
	(3)				
	(4)				
Parent Community Involvement	1304.3-10(e)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
Sanitation and Compliance	1304.3-10(f)				
Staff and Training	1304.3-10(g)				
Record Keeping	1304.3-10(h)				

SOCIAL SERVICES - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304 Section	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
1-4	Is there a current written plan (annually updated and/or revised)?							Check written plan and interview specialist responsible for component. Note date of revision or update.
1-4	Is there evidence of advice and concurrence of Policy Council or Policy Committee in developing the plan?							Review minutes of Council or Committee and interview several members.
1-4	Does the plan provide that the Head Start program covered thereby meets or exceeds the performance standard as required for:							Compare contents of written plan against requirements specified in each performance standard and its parts and subitems.
	4-2(a)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(6)							
	(7)							
	(8)							
	(9)							

SOCIAL SERVICES - WRITTEN PLAN

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Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
1-4	4-2 (b)(1)							
	(2)							
	(3)							
	(4)							
	(5)							
	(c)							

SOCIAL SERVICES - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
Section								
4-2(a)	Are established procedures used for:							
(1)	Recruitment of children taking into account the demographic make-up of the community and the needs of children and families?							(1) Interview Social Services staff to determine if such procedures exist, and if so, what methods are used to implement the procedures.
(2)	Recruitment of handicapped children?							(2) Ask Head Start staff about procedures to recruit handicapped children. Review enrollment files for consistency with HEW-OCD requirements. (10% of slots)
(3)	Providing or referral for appropriate counseling?							(3) Review Social Services records reflecting referrals or provision for appropriate counseling. Interview Social Service staff.
(4)	Emergency assistance or crisis intervention?							(4) Interview Social Service staff to determine what procedures program has for handling emergency assistance or crisis intervention. Review records for incidences of this.
(5)	Furnishing information about available community resources and how to use them?							(5) Interview Social Services staff to determine how this is accomplished. Interview parents to learn their familiarity with community services.

SOCIAL SERVICES - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
4-2(a)(6)	Follow-up to assure delivery of needed assistance?							(6) Interview Social Services staff; review records for incidences of this. Ask what procedures are followed - time frame, etc.
(7)	Establishing a role of advocacy and spokesman for Head Start families?							(7) Ask how program staff does this. Ask if there is a procedure. Interview Head Start staff, grantee staff and parents
(8)	Contacting parents or guardian of child with irregular attendance, or who, has been absent four (4) consecutive days?							(8) Ask Social Services staff what is procedure for handling this situation. Review records for documentation of problem and action taken.
(9)	Identification of the social service needs of Head Start families and working with other community agencies to develop programs to meet those needs?							(9) Interview Social Services staff to determine how this is done. Ask what procedures are there for working with other community agencies to develop needed services. If there are such procedures ask what staff person is involved and responsible for this activity.
4-2(b)	Is there close cooperation with existing community resources for the purpose of:							
(1)	Helping Head Start parent groups work with other neighborhood and community groups with similar concerns;							(1) Interview parents and staff to determine if parents are assisted to work with other community groups having similar concerns as Head Start; i.e., Day Care, Child Care, 4-C programs.

SOCIAL SERVICES - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
4-2(b)(2)	Communicating to other community agencies the needs of Head Start families, and ways of meeting these needs;							(2) Ask staff if this is done, and who is responsible for doing it. Review any records or documents substantiating this activity.
(3)	Helping to assure better coordination, cooperation and information sharing with community agencies;							(3) Use same approach as (2) above.
(4)	Calling attention to the inadequacies of existing community services, and assisting in improving the available services, or bringing in new services, and							(4) Ask staff what mechanism is used to bring this about, i.e., Inter-agency committees, joint agency staff meetings, communication with local government officials, etc.
(5)	Preparing and making available a community resource list to Head Start staff and families?							(5) Interview Parent Coordinator, Director, and Social Services staff, and ask if this is routinely done for all enrolled families. Also ask if this list is ever updated. Find out who is responsible for developing such a list, and is there an opportunity for parents to ask questions about these resources. Ask if staff provides interpretation of resource list to parents.

SOCIAL SERVICES - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
4-2(c)	Are there complete and up-to-date records of family data including:							
	- complete enrollment forms?							(c) Spot check families records for enrollment forms.
	- referral and follow-up reports?							Review records for referral and follow-up reports. Interview staff.
	- reports of contacts with other agencies?							Review records for contacts with other agencies, including follow-up.
	- reports of contacts with families?							Review records for current or recent contacts with families. Observe quality and substance of reports.
	Are confidentiality of records maintained?							Ask staff what safeguards there are for assuring confidentiality of family records. Ask how long files are kept of individual families and whether or not files are destroyed after a certain number of years.

SOCIAL SERVICES

Performance Summary

Please indicate the compliance status with individual performance standards.

	Performance Standard Number	Delegate Agency or Grantee Compliance	Delegate Agency or Grantee Non-Compliance	Office of Child Development Compliance	Office of Child Development Non-Compliance
Written Plan	1304.1-4				
Recruitment	1304.4-2(a)(1)				
	(2)				
Family Services	(3)				
	(4)				
	(5)				
	(6)				
	(7)				
	(8)				
	(9)				
Community Resources Cooperation	1304.4-2(b)(1)				
	(2)				
	(3)				
	(4)				
	(5)				
Records	1304.4-2(c)				

PARENT INVOLVEMENT - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
1-4	Is there a current written plan (annually updated or revised)?							Check the written plan and interview specialist responsible for component. Note date of revision or update.
1-4	Is there evidence of advice and concurrence of Policy Council or Policy Committee in developing the plan?							Review minutes of Council or Committee and interview several members.
1-4	Does the plan provide that the Head Start program covered thereby meets or exceeds the performance standards as required for:							Compare contents of written plan against requirement specified in each performance standard and its parts and sub-items.
	5-2(b)							
	5-3(a)							
	(b)							
	(c)							
	(d)							
	(e)							
	(f)							
	(g)							
	5-4(a)							
	(b)(1)							
	(2)							

PARENT INVOLVEMENT - WRITTEN PLAN

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
1-4	5-4(b)(3)							
	(4)							
	(c)							
	5-5 (1)							
	(2)							
	(3)							

PARENT INVOLVEMENT - PROGRAM OPERATIONS

Column 1 Cross Reference Part 1304 Section	Column 2 Individual Specific Policy	Column 3 Delegate Agency or Grantee in Compliance Yes	Column 3 No	Column 4 Delegate Agency or Grantee Reasons for Non-Compliance	Column 5 OCD In Compliance Yes	Column 5 No	Column 6 OCD Reasons for Non-Compliance	Column 7 Guidance for Assessing Compliance
5-2(a)	Does the program comply with the basic parent participation policy contained in Appendix B of CFR 1304, namely: Is there parent participation -in the process of decision making about nature and operation of program -in the classroom as paid employees, volunteers or observers? -program activities which they have helped to develop? -working with their children in cooperation with staff at center?							(a) Attend Policy Committee-Council meeting. Interview parents on Committee-Council. Review Committee-Council meeting minutes. Interview Head Start Director. Observe classroom activities. Interview parents and teachers. Check volunteer attendance records. Interview parents, Parent Coordinator to determine that these opportunities exist. Observe parent-child interaction activities. Interview parents, different staff to determine whether or not opportunities exist for parents to work with their children.
5-2(b)	Is participation of Head Start parents voluntary and not required as a condition of the child's enrollment?							(b) Interview Head Start Director, Parent Coordinator, parents.

PARENT INVOLVEMENT - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
5-3	Does the parent involvement program adequately provide methods and opportunities for enhancing parents' "parenting" skills such as:							
(a)	Experiences and activities which lead to enhancing the development of their skills, self-confidence, and sense of independence in fostering an environment in which their children can develop to their full potential?							(a) Observe parent education activities, group meetings, parent-child interaction activties. Interview parents, Head Start staff. Check Parent Involvement Plan in recent program proposal. Request list of parent involvement opportunities for parents.
(b)	Experiences in child growth?							(b) Observe instructions being offered to parents individually or in groups. Interview parents, Parent Coordinator, teachers; inquire about outside training for parents, and who might conduct such training. Interview outside resource people, consultants, trainers.
(c)	Ways of providing educational and developmental activities for children in the home and community?							(c) Request permission to visit a parent's home with staff. Observe activities in home with child. Interview parents, home visitor. Review any written reports on these activities.

PARENT INVOLVEMENT - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD in Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
5-3(d)	Health, mental health, dental and nutritional education?							(d) Interview parents Health Coordinator, Parent Coordinator, Nutritionist. Observe Health-Nutrition Education activities for parents in center or outside of center. Review any written reports on these activities.
(e)	Identifiction, and use of family and community resources to meet the basic life support needs of the family?							(e) Interview parents. Request any information provided to parents about family and community resources from staff or other source. Is there a prepared resource list,for parents?
(f)	Identification of opportunities for continuing education which may lead towards self-enrichment and employment?							(f) Interview parents. Inquire about G.E.D. or other adult education activities stimulated by Head Start program. Review most current program proposal for any plan to involve parents in continuing education opportunities. Review resource list.
(g)	Meeting with the Head Start teachers and other appropriate staff for discussion and assessment of their children's individual needs and progress?							(g) Observe parent-staff partnership activities. Interview parents and staff to find out frequency of parent-staff discussions. Review records.

PARENT INVOLVEMENT - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
5-4(a)	Is there two-way communication between staff and parents carried out on a regular basis throughout the program year which provides information about: - the program and its services? - program activities for the children? - the policy groups? - resources within the program and the community?							(a) Interview parents, staff. Inquire about parent-staff meetings orientation meetings. Observe such meetings. Ask parents if they have received written information and orientation concerning the Parent Involvement Performance Standards. Ask Head Start Director whether or not the program provides parents with this written information and orientation.
	Are communications designed and carried out in a way which reaches parents and staff effectively?							Interview appropriate grantee staff, Head Start Director. Inquire about a newsletter. Ask if Head Start parents (other than Policy members) are encouraged to attend Policy Committee-Council meetings.
	Do policy groups, staff and parents participate in the planning and development of the communication system used?							Interview policy group members, parents, staff about the system.

PARENT INVOLVEMT - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
5-4(b)	Is there a system for the regular provision of information to members of Policy Groups? The purpose of such communication is to enable the policy group to make informed decisions in a timely and effective manner, to share professional expertise, and generally to be provided with staff support. At a minimum, information provided will include:							(b) Interview Policy Group members, parents, staff, grantee staff. Review Policy Committee-Council minutes. Review any plan that would encompass these procedures.
(1)	Timetable for planning, development, and submission of proposals;							
(2)	Head Start policies, guidelines, and other communications from the Office of Child Development.							
(3)	Financial reports and statement of funds expended in the Head Start account; and							
(4)	Work plans, grant applications, and personnel policies for Head Start.							

PARENT INVOLVEMENT - PROGRAM OPERATIONS

Column 1	Column 2	Column 3		Column 4	Column 5		Column 6	Column 7
Cross Reference Part 1304	Individual Specific Policy	Delegate Agency or Grantee in Compliance Yes	No	Delegate Agency or Grantee Reasons for Non-Compliance	OCD In Compliance Yes	No	OCD Reasons for Non-Compliance	Guidance for Assessing Compliance
Section								
5-4(c)	Does the entire Head Start staff share responsibility for providing assistance in the conduct of the above activities?							(c) Interview Parent Coordinator, Head Start Director, other staff.
	In addition, do Health Services, Education, and Social Services staff contribute their direct services to assist the Parent Involvement staff. If staff resources are not available, are the necessary resources sought within the community?							Interview Parent Coordinator, Head Start Director, other staff to determine whether or not Health Services, Education, and Social Services staff contribute their direct services to assist the Parent Involvement staff.
5-5 (1)	Are effective procedures established by which parents and area residents concerned will be enabled to influence the character of programs affecting their interests?							(1) Interview parents. Review plans for establishing such procedures. Interview Parent Coordinator.
(2)	Is there regular participation by parents in the implementation of such programs?							(2) Interview parents, Parent Coordinator.
(3)	Is technical and other support needed to enable parents and area residents to secure on their own behalf available assistance from public and private source provided?							(3) Interview parents, Parent Coordinator, Head Start Director.

PARENT INVOLVEMENT
Performance Summary

Please indicate the compliance status with individual performance standards.

	Performance Standard Number	Delegate Agency or Grantee		Office of Child Development	
		Compliance	Non-Compliance	Compliance	Non-Compliance
Written Plan	1304.1-4				
Policy	1304.5-2(a)				
	(b)				
Developing Parenting Skills	1304.5-3(a)				
	(b)				
	(c)				
	(d)				
	(e)				
	(f)				
	(g)				
Parent-Staff Communications	1304.5-4(a)				
	(b)(1)				
	(2)				
	(3)				
	(4)				
	(c)				

PARENT INVOLVEMENT - (Cont'd)

	Performance Standard Number		Delegate Agency or Grantee		Office of Child Development	
			Compliance	Non-Compliance	Compliance	Non-Compliance
Parent Program	1304.5-5	(1)				
		(2)				
		(3)				

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